

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)

Application Number	10696100
Filing Date	2003-10-29
First Named Inventor	Jameson, Joel
Art Unit	3623
Examiner Name	Boyce, A.
Attorney Docket Number	4000735.0023

U.S.PATENTS							Remove	
Examiner Initial*	Cite No	Patent Number	Kind Code ¹	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear		
	1	6263334		2001-07-17	Fayyad, et al.			
If you wish to add additional U.S. Patent citation information please click the Add button.							Add	
U.S.PATENT APPLICATION PUBLICATIONS							Remove	
Examiner Initial*	Cite No	Publication Number	Kind Code ¹	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear		
	1							
If you wish to add additional U.S. Published Application citation information please click the Add button.							Add	
FOREIGN PATENT DOCUMENTS							Remove	
Examiner Initial*	Cite No	Foreign Document Number ³	Country Code ² j	Kind Code ⁴	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear	T ⁵
	1							<input type="checkbox"/>
If you wish to add additional Foreign Patent Document citation information please click the Add button							Add	
NON-PATENT LITERATURE DOCUMENTS							Remove	
Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.						T ⁵

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**
(Not for submission under 37 CFR 1.99)

Application Number		10696100
Filing Date		2003-10-29
First Named Inventor	Jameson, Joel	
Art Unit		3623
Examiner Name	Boyce, A.	
Attorney Docket Number		4000735.0023

1	AGRESTI, A., Categorical Data Analysis, 2002, 710 pp., Wiley Press.	<input type="checkbox"/>
2	BADSBERG, J.H. & MALVESTUTO, F.M., An Implementation of the Iterative Proportional Fitting Procedure by Propagation Trees, Comp Stat & Data Anal, 2001, pp297-322, Vol. 37.	<input type="checkbox"/>
3	BENNETT, K.P.; FAYYAD, U.; and GEIGER, D., Density-Based Indexing for Approximate Nearest-Neighbor Queries, Knowledge Discovery & Data Mining Conf., August 1999, pp 233-243	<input type="checkbox"/>
4	BURNHAM, K.P. and ANDERSON, D.R., Model Selection and Multimodel Inference: a practical information-theoretic approach, 2002, 2nd Ed., 488 pp., Springer-Verlag, N.Y.	<input type="checkbox"/>
5	CRAMER, E., Probability Measures With Given Marginals & Conditionals: I-Projections & Conditional Iterative Proportional Fitting, Statistics & Decisions, 2000, pp. 311-329	<input type="checkbox"/>
6	DARROCH, J.N. and RATCLIFF, D., Generalized Iterative Scaline For Log-Linear Models, The Annals of Mathematical Statistics, 1972, pp. 1470-1480, Vol 43, No. 5.	<input type="checkbox"/>
7	DENTENEER, D. and VERBEEK, A., A Fast Algorithm For Iterative Proportional Fitting In Log-Linear Models, Computational Statistics & Data Analysis, 1986, pp. 251-264, Vol. 3.	<input type="checkbox"/>
8	FIENBERG, S., The Analysis of Cross-Classified Categorical Data 2nd Ed., 1990, 151 pp., The MIT Press, Cambridge, MA.	<input type="checkbox"/>
9	GRIM, J., Knowledge Representation and Uncertainty Processing In The Probabilistic Expert System PES, Int. J. General Systems, 1994, pp. 103-111, Vol. 22.	<input type="checkbox"/>
10	HABERMAN, S.J., Algorithm AS 51:Log-Linear Fit for Contingency Tables, Applied Statistics, 1972, pp. 218-225, Vol. 21, No. 2.	<input type="checkbox"/>
11	HAJEK, P.T. and JIROUSEK, R., Uncertain Information Processing In Expert Systems, 1992, CRC Press	<input type="checkbox"/>

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**
(Not for submission under 37 CFR 1.99)

Application Number	10696100
Filing Date	2003-10-29
First Named Inventor	Jameson, Joel
Art Unit	3623
Examiner Name	Boyce, A.
Attorney Docket Number	4000735.0023

12	HUGHES, A.W. and KING, M.L., An Iterative Approach to Variable Selection Based Upon the Bullback-Leibler Information, Commun. Statist. - Theory Meth., 1999, pp. 1043-1057	<input type="checkbox"/>
13	JIROUSEK, R., PREUCIL, S., On The Effective Implementation Of The Iterative Proportional Fitting Procedure, Computational Statistics & Data Analysis, 1995, pp. 177-189, Vol.1.	<input type="checkbox"/>
14	JIROUSEK, R., Solution of the Marginal Problem and Decomposable Distributions, 1991, Kybernetika, 1991, pp. 403-412, Vol. 27, No. 5.	<input type="checkbox"/>
15	KNUIMAN, M.W. and SPEED, T.O., Incorporating Prior Information into the Analysis of Contingency Tables, Biometrics, December 1988, pp 1061-1071, Vol. 44.	<input type="checkbox"/>
16	KOSKOSIDIS, Y.A. and DUARTE, A.M., A Scenario-Based Approach to Active Asset Allocation, Journal of Portfolio Management, Winter 1997, pp. 74-85, Vol. 23, No. 2.	<input type="checkbox"/>
17	KULLBACK, S., Information Theory and Statistics, 1997, 399 pp., Dover Publications.	<input type="checkbox"/>
18	LAD, F., Operational Subjective Statistical Methods, 1996, 484 pp., Wiley Press.	<input type="checkbox"/>
19	MALVESTUTO, F.M., Computing The Maximum-Entropy Extension Of Given Discrete Probability Distributions, Computational Statistics & Data Analysis, 1989, pp. 288-311, Vol. 8.	<input type="checkbox"/>
20	MEYER, M.M., Applications and Generalizations of the Iterative Proportional Fitting Procedure, PhD. Thesis, 1981, 177 pp., University of Minnesota.	<input type="checkbox"/>
21	REEHL, C.B., Determining Expected Results of an Option Trade, Futures, Aug 31, 2002, po. 44, Vol. 31, No. 10.	<input type="checkbox"/>
22	SHIBATA, R., Bootstrap Estimate of Kullback-Leibler Information For Model Selection, Statistica Sinica, 1997, pp. 375-394, Vol. 7.	<input type="checkbox"/>

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)	Application Number		10696100
	Filing Date		2003-10-29
	First Named Inventor	Jameson, Joel	
	Art Unit	3623	
	Examiner Name	Boyce, A.	
	Attorney Docket Number	4000735.0023	

	23	VEJVALKOVA, J., Integration of Expert Knowledge into a Probabilistic Expert System, Kybernetika, 1995, pp. 465-480., VOL. 31, No 5.	<input type="checkbox"/>
--	----	---	--------------------------

If you wish to add additional non-patent literature document citation information please click the Add button **Add**

EXAMINER SIGNATURE

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through a citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ See Kind Codes of USPTO Patent Documents at www.USPTO.GOV or MPEP 901.04. ² Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). ³ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁴ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁵ Applicant is to place a check mark here if English language translation is attached.

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**
(Not for submission under 37 CFR 1.99)

Application Number	10696100
Filing Date	2003-10-29
First Named Inventor	Jameson, Joel
Art Unit	3623
Examiner Name	Boyce, A.
Attorney Docket Number	4000735.0023

CERTIFICATION STATEMENT

Please see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):

- ☐ That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(1).

OR

- ☒ That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(2).

- ☐ See attached certification statement.
- ☒ Fee set forth in 37 CFR 1.17 (p) has been submitted herewith.
- ☐ None

SIGNATURE

A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.

Signature	/aks/	Date (YYYY-MM-DD)	2007-01-25
Name/Print	Adam K Sacharoff	Registration Number	43075

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1 hour to complete, including gathering, preparing and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

Privacy Act Statement

The Privacy Act of 1974 (P.L. 93-579) requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

The information provided by you in this form will be subject to the following routine uses:

1. The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether the Freedom of Information Act requires disclosure of these records.
2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.
3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.
4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).
5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspections or an issued patent.
9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.